

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
)  
Yasunori SAKURABAYASHI et a. )  
) Group Art Unit: Not Yet Assigned  
Serial No.: Not Yet Assigned )  
) Examiner: Not Yet Assigned  
Filed: - October 20, 2003 )  
)  
For: METHODS FOR )  
MANUFACTURING MULTI- )  
WALL CARBON NANOTUBES )  
)

**MAIL STOP PATENT APPLICATION**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO-1449. Copies of the listed documents are attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO-1449 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed with the above-referenced application.

The following is a concise statement of relevance of one of the non-English language documents.

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Japanese Laid-open Patent Application Publication No. 2002-97009 is discussed at page 1 of the specification of the present application. An English-language abstract also is enclosed.

Japanese Laid-open Patent Application Publication No. 2002-97010 is discussed at page 1 of the specification of the present application. An English-language abstract also is enclosed.

An English-language abstract is enclosed for Japanese Laid-open Patent Application Publication No. 2002-80211.

An English-language abstract is enclosed for Function & Materials, vol. 21, No. 5, pp 85-91.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Patent and Trademark Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

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If there is any fee due in connection with the filing of this Statement, please  
charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
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Dated: October 20, 2003

By: 

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## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	09227.0002	Serial No.	
Applicant	Yasunori SAKURABAYASHI et al.		
Filing Date	October 20, 2003	Group:	

U.S. PATENT DOCUMENTS							
Examiner Initial*		Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS							
		Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No
		2002-97009	04/2/2002	Japan			Abstract
		2002-97010	04/2/2002	Japan			Abstract
		2002-80211	03/19/2002	Japan			Abstract

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	Chemical Physics Letter 321, "Formation Mechanism of Fullerene Peapods and Coaxial Tubes: A Path to Large Scale Synthesis, Smith et al., April 21, 2000, pages 169-174.
	Carbon 38, "Carbon Cage Structures in Single Wall Carbon Nanotubes: A New Class of Materials" Luzzi et al., 2000, pages 1751-1756.
	Function & Materials, "Double-wall Carbon Nanotubes derived from Fullerene Arrays Generated Inside Single-wall Carbon Nanotubes: Nanometer Scale Test Tube", Vol. 21, No. 5, pages 85-91 (May 2001) with its English Abstract.
	Chemical Physics Letters 315, "Carbon Nanotube Encapsulated Fullerenes: A Unique Class of Hybrid Materials, Smith et al., December 17, 1999, pages 31-36.
	Physica B323, "Carbon Nanotubes: Past, Present, and Future", Iijima, 2002, pages 1-5.

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce